

2009 NOV 17 PH 2:51

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. 09/255,737
Filing Date 02/23/1999
Confirmation No. 9000
5 Applicant..... Microsoft Corporation
Inventorship Mead, et. al.
Group Art Unit..... 3691
Attorney's Docket No. 125328.01
10 Title: System and Method for Providing Automated Investment Alerts from
Multiple Data Sources

REFUND BRANCH

15

To: Mail Stop 16
Director of the US Patent and Trademark Office
20 P.O. Box 1450
Alexandria, VA 22313-1450

From: William J. Breen, III (Tel. 509-755-7253; Fax: 509-755-7252)

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Customer No. 69316

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REQUEST FOR REFUND UNDER 37 C.F.R. § 1.26(A)

When this application was filed on 02/23/1999, seven additional claims were paid
for putting the claim count at 27 total claims and 3 independent claims. When the
35 first Office Action was responded to on 09/06/2001, 5 additional claims and 3
additional independent claims were paid for putting the claim count at 32 total
claims and 6 independent claims. On 09/25/2009, the deposit account of 50-4143
was charged \$52 based on the response filed 09/16/2009, but no fees were due
because the current claim count was 23 total claims and 3 independent claims.
40 Attached are all documents showing payment. We hereby request the additional
claim fee of \$52 to be credited to the deposit account to which the fee was
charged, according to 37 C.F.R. § 1.26.

Respectfully Submitted,

Dated: November 16, 2009

By: /William J. Breen, III/

William J. Breen, III

Sadler, Breen, Morasch & Colby

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Approved for: PTO/SB/17 (11-00)
through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office
S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 330.00

Complete if Known

Application Number 09/255,737
Filing Date February 23, 1999
First Named Inventor Jerald MEAD
Examiner Name J. Bergin
Group / Art Unit 2164
Attorney Docket No. 03797.77744

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

19-0733

Deposit
Account
Name

BANNER & WITCOFF, LTD.

☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed

☐ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Code	Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	Utility filing fee	
106	320	206	Design filing fee	
107	490	207	Plant filing fee	
108	710	208	Reissue filing fee	
114	150	214	Provisional filing fee	

SUBTOTAL (1)

(\$ 0)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20**	5	18	90
Independent Claims	3**	80	240
Multiple Dependent			0

Large Code	Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	Claims in excess of 20	
102	80	202	Independent claims in excess of 3	
104	270	204	Multiple dependent claim, if not paid	
109	80	209	** Reissue independent claims over original patent	
110	18	210	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

(\$ 330.00)

**or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid		
105	130	205	63	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
129	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	690	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
128	180	128	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
145	710	245	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 0)

SUBMITTED BY

Complete if applicable

Name (Print/Type)	Richard C. Irving	Registration No. Attorney/Agent	38,498	Telephone	(202) 508-9100
Signature	<i>Richard C. Irving</i>	Date	September 8, 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Document code: WFEE

United States Patent and Trademark Office
Sales Receipt for Accounting Date: 09/25/2009

MHOLMES SALE #00000002 Mailroom Dt: 09/16/2009 504143 09255737
01 FC : 1202 52.00 DA

Adjustment date: 12/04/2009 SDIRETA1
09/25/2009 MHOLMES 00000002 504143 09255737
01 FC:1202 52.00 CR

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
Jennifer Mead, et al.) Attn: Box Missing Parts
Serial No. 09/255,737)
Filed: February 23, 1999) Atty. Dkt. No. 03797.77744

**For: SYSTEM AND METHOD FOR PROVIDING
AUTOMATED INVESTMENT ALERTS
FROM MULTIPLE DATA SOURCES**

SUBMISSION OF EXECUTED DECLARATION AND FEES

The Assistant Commissioner
for Patents
Washington, D.C. 20231

Sir:

Attached is the executed Declaration for Patent Application in compliance with the Notice to File Missing Parts of Application (copy enclosed) mailed March 17, 1999. Accordingly, it is respectfully submitted that this application is entitled to a filing date of February 23, 1999, the date upon which the specification and drawings were received by the U.S. Patent and Trademark Office.

A check covering the amount of \$1016.00 is attached for the application filing fee. The calculation is as follows:

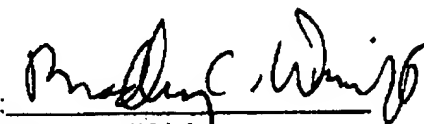
Basic Fee (total claims = 27)	\$760.00
Total Claims in Excess (7)	\$126.00
Surcharge for subsequent filing of executed Declaration	\$130.00
TOTAL FILING FEE	\$1,016.00

In the event any variance exists between the amount enclosed and the Patent Office charges,
please charge or credit any difference to our Deposit Account No. 19-0733.

Respectfully submitted,

Date: June 17, 1999

By:



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